

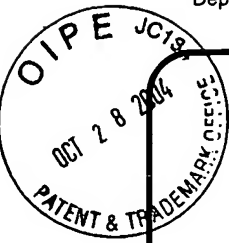
10-29-04

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Express Mail No. EV463244963US

Deposited on: 10/28/2004

PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE



TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/754,002
Filing Date	01/08/2004
First Named Inventor	Daniel E. Resasco et al.
Group Art Unit	1754 (Conf. No. 6016)
Examiner Name	S. Hendrickson
Attorney Docket Number	5820.645

Total Number of Pages in This Submission

ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):

See remarks below:

Remarks

1. Transmittal (1 page);
2. Fee Transmittal (1 page);
3. Credit Card Payment Form (1 page);
4. Supplemental Information Disclosure Statement (3 pages);
5. Supplemental Form PTO-1449 (3 pages);
6. Copies of cited material; and
7. Return Receipt Postcard.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name: DUNLAP, CODDING & ROGERS, P.C., Customer Number 30589
P. O. Box 16370, Oklahoma City, Oklahoma 73113; Christopher W. Corbett

Signature

Date

10/28/04

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail or U.S. Express mail no. EV463244963US in an envelope addressed to the address below on this date: 10/28/2004

Typed or printed name: Christopher W. Corbett, Reg. No. 36,109

Signature

Date

10/28/04

SEND TO: Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Express Mail No.: EV463244963US

Date Deposited: 10/28/2004

PTO/SB/17 (10-04)

Approved for use through 07/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE**FEE TRANSMITTAL**
for FY 2005

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180

Complete if Known

Application Number	10/754.002
Filing Date	01/08/2004
First Named Inventor	Daniel E. Resasco et al.
Examiner Name	S. Hendrickson
Art Unit	1754
Attorney Docket No.	5820.645

METHOD OF PAYMENT (check all that apply)
☐ Check ☒ Credit card ☐ Money Order ☐ Other ☐ None
☐ Deposit Account:
 Deposit
Account
Number
Deposit
Account
Name

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	790	2001	395	Utility filing fee	
1002	350	2002	175	Design filing fee	
1003	550	2003	275	Plant filing fee	
1004	790	2004	395	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$) 0

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Independent Claims	Multiple Dependent	Extra Claims		Fee Paid
			Fee from below		
			** =		\$0
			** =	0	\$0
					\$0

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	88	2201	44	Independent claims in excess of 3	
1203	300	2203	150	Multiple dependent claim, if not paid	
1204	88	2204	44	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	430	2252	215	Extension for reply within second month	
1253	980	2253	490	Extension for reply within third month	
1254	1,530	2254	765	Extension for reply within fourth month	
1255	2,080	2255	1,040	Extension for reply within fifth month	
1401	340	2401	170	Notice of Appeal	
1402	340	2402	170	Filing a brief in support of an appeal	
1403	300	2403	150	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,370	2453	685	Petition to revive - unintentional	
1501	1,370	2501	685	Utility issue fee (or reissue)	
1502	490	2502	245	Design issue fee	
1503	660	2503	330	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	790	2809	395	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	790	2810	395	For each additional invention to be examined (37 CFR 1.129(b))	
1801	790	2801	395	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 180**SUBMITTED BY**

(Complete if applicable)

Name (Print/Type)	Christopher W. Corbett	Registration No. (Attorney/Agent)	36,109	Telephone	(405) 607-8600
Signature		Date	10/28/2004		

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Express Mail No.: EV463244963US

PATENT

Date Deposited: October 28, 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 10/754,002 Confirmation No.: 6016
Applicant(s) : Daniel E. Resasco, Boonyarach Kitiyanan,
Jeffrey H. Harwell and Walter Alvarez
Filed : 01/08/2004
TC/Au : 1754
Examiner : S. Hendrickson
Title : METALLIC CATALYTIC PARTICLE FOR
PRODUCING SINGLE-WALLED CARBON
NANOTUBES
Docket No. : 5820.645
Customer No. : 30589

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

List of Sections Forming Part of This
Information Disclosure Statement

The following sections are being submitted for this Information Disclosure Statement:

1. ☒ Preliminary Statements
2. ☒ Form PTO-1449 (Modified)
3. ☐ Statement as to Information Not Found in Patents or Publications
4. ☒ Copies of Listed Information Items Accompanying this Statement
5. ☒ Identification of Person(s) Making this Information Disclosure Statement

5820.645 Supplemental IDS.wpd

11/01/2004 EAREGAY1 00000050 10754002

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Section 1. Preliminary Statements

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

Section 2. Form PTO-1449 (Modified)

☒ [X] A completed Form PTO-1449 (Modified) is attached hereto.

Section 3. Statement as to Information Not Found in Patents or Publications (Information Not Listed in Form PTO-1449)

Section 4. Copies of Listed Information Items Accompanying this Statement

☒ [X] As this application was filed after June 30, 2003, no copies of cited U.S. patents or patent application publications are submitted herewith.

☒ [X] Regarding the foreign patents and publications and the non-patent documents listed, legible copies are attached herewith.

Section 5. Identification of Person(s) Making this INFORMATION DISCLOSURE STATEMENT

The person making this statement is the attorney who signs below on the basis of the information:

- ☐ supplied by the inventor(s)
- ☐ supplied by an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c)).
- ☒ in the attorney's file

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Christopher W. Corbett", written over a horizontal line.

Christopher W. Corbett
Reg. No. 36109
DUNLAP, CODDING & ROGERS, P.C.
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Oklahoma City, Oklahoma 73113
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Agent for Applicant(s)



Express Mail: EV463244963US
Date Deposited: October 28, 2004

Substitute for form 1449A/PTO

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known	
Application Number	10/754,002
Filing Date	01/08/2004
First Named Inventor	Daniel E. Resasco et al.
Group Art Unit	1754 (Conf. No. 6016)
Examiner Name	S. Hendrickson
Attorney Docket Number	5820.645

U. S. PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	<u>U.S. PATENT NUMBER</u> Number	Kind Code ² (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD- YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		5424054		Bethune	06/13/1995	
		5500200		Mandeville et al.	03/19/1996	
		5747161		Iijima	05/05/1998	
		6221330		Moy et al.	04/24/2001	
		6312303		Yaniv et al.	11/06/2001	
		6346189		Dai et al.	02/12/2002	
		6401526		Dai et al.	06/11/2002	
		6426134		Lavin et al.	07/30/2002	
		6432866		Tennent et al.	08/13/2002	
		6479939		Yaniv et al.	11/12/2002	
		6573643		Kumar et al.	06/03/2003	
		6580225		Yaniv et al.	06/17/2003	
		6596187		Coll et al.	07/22/2003	
		6664722		Yaniv et al.	12/16/2003	
		6656339		Talin et al.	12/02/2003	
		6599961		Pienkowski et al.	07/29/2003	



U. S. PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	<u>U.S. PATENT NUMBER</u> Number	Kind Code ² (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD- YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		6699457		Cortright et al.	03/02/2004	
		6761870		Smalley et al.	07/13/2004	
		60/101093		Smalley et al.	09/18/1998	
		US2003/0077515A1		Chen et al.	04/24/2003	
		US2003/0089893A1		Niu et al.	05/15/2003	
		US2003/0147802A1		Smalley et al.	08/07/2003	
		US2003/0175200A1		Smalley et al.	09/18/2003	
		US2003/0180526A1		Winey et al.	09/25/2003	
		US2004/0009346A1		Jang et al.	01/15/2004	
		US2004/0028859A1		LeGrande et al.	02/12/2004	

FOREIGN PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	<u>Foreign Patent Document</u>			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM- DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁴
		Office 3	Number 4	Kind Code ⁵ (if known)				
			PCT/US03/19664		International Search Report	03/31/2004		
			WO 03/048038		PCT/US	06/12/2003		
			WO 04/001107		PCT/US	12/31/2003		
			EP 01 93 9821		European Search Report	06/09/2004		
			EP 0 945 402 A1		SHIMADZU CORP; Res. Inst. Innovative Tech. Earch	09/29/1999		

U.S. and Foreign: ¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard St.3). ⁴Form Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.



EXAM INIT.		NON PATENT DOCUMENTS Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published
		CHATTOPADHYAY, et al., "A Route for Bulk Separation of Semiconducting from Metallic Single-Wall Carbon Nanotubes", Journal of American Chemical Society, Vol. 125, No. 11, pp. 3370-3375, 2003.
		CHEN et al., "Bulk Separative Enrichment in Metallic or Semiconducting Single-Walled Carbon Nanotubes", Nano Letters, xxxx Vol. 0, No. 0, page est: 4.9 A-E.
		Patent Abstracts of Japan, Vol. 1996, no. 12, December 26, 1996, and JP 0 8 198611 A (NEC CORP), Aug. 6, 1996, Abstract.
		TAHJI et al., "Purification Procedure for Single-Wall Nanotubes", J. Phys. Chem. B, Vol. 101, pp. 1974-1978 (1997).
Non Patent Documents: ¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.		
Examiner Signature:		Date Considered:
EXAMINER: Initial if citation considered, whether or not citation is in conformance and not considered. Include copy of this form with next communication to applicant. **Place of Publication refers to name of publication in which the information was published.		